

# PATENT COOPERATION TREATY

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

## PCT

To:

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- 2. Nov. 2004  
TBK - PATENT

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT  
(PCT Rule 71.1)

Date of mailing  
(day/month/year)

02.11.2004

Applicant's or agent's file reference  
WO 35679

### IMPORTANT NOTIFICATION

International application No.  
PCT/IB 02/03589

International filing date (day/month/year)  
05.09.2002

Priority date (day/month/year)  
05.09.2002

Applicant  
HONEYWELL INTERNATIONAL INC.

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

#### 4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

The applicant's attention is drawn to Article 33(5), which provides that the criteria of novelty, inventive step and industrial applicability described in Article 33(2) to (4) merely serve the purposes of international preliminary examination and that "any Contracting State may apply additional or different criteria for the purposes of deciding whether, in that State, the claimed inventions is patentable or not" (see also Article 27(5)). Such additional criteria may relate, for example, to exemptions from patentability, requirements for enabling disclosure, clarity and support for the claims.

Name and mailing address of the international  
preliminary examining authority:



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# PATENT COOPERATION TREATY

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### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

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- 2. Nov. 2004

TBK - PATENT

Applicant's or agent's file reference WO 35679	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEA416)	
International application No. PCT/IB 02/03589	International filing date ( <i>day/month/year</i> ) 05.09.2002	Priority date ( <i>day/month/year</i> ) 05.09.2002
International Patent Classification (IPC) or both national classification and IPC F01D17/16		
Applicant HONEYWELL INTERNATIONAL INC.		

- This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
- This REPORT consists of a total of 5 sheets, including this cover sheet.  
  
☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).  
  
These annexes consist of a total of sheets.

- This report contains indications relating to the following items:
  - I ☒ Basis of the opinion
  - II ☐ Priority
  - III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
  - IV ☐ Lack of unity of invention
  - V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
  - VI ☐ Certain documents cited
  - VII ☐ Certain defects in the international application
  - VIII ☐ Certain observations on the international application

Date of submission of the demand  10.03.2004	Date of completion of this report  02.11.2004
Name and mailing address of the international preliminary examining authority:   European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016	Authorized Officer  Angelucci, S  Telephone No. +31 70 340-4330 

JC20 Rec'd PCT/PTO 24 JUN 2005

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/IB 02/03589

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-6 as originally filed

**Claims, Numbers**

1-10 as originally filed

**Drawings, Sheets**

1/5-5/5 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/B 02/03589**

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5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims	
	No: Claims	1-10
Inventive step (IS)	Yes: Claims	
	No: Claims	1-10
Industrial applicability (IA)	Yes: Claims	1-10
	No: Claims	

2. Citations and explanations

**see separate sheet**

**Re Item V**

**Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Reference is made to the following documents:

D1: EP-A-0 270 384 (HONDA MOTOR CO LTD) 8 June 1988 (1988-06-08)  
D2: WO 01/53679 A (VIOLA ERIC JOSEPH ;ALLIEDSIGNAL TURBO S A (FR);  
BERNARDINI LUCIANO) 26 July 2001 (2001-07-26)  
D3: US-A-5 214 920 (LEAVESLEY MALCOLM G) 1 June 1993 (1993-06-01)  
D4: EP-A-0 571 205 (ALLIEDSIGNAL LTD) 24 November 1993 (1993-11-24)  
D5: US-A-4 557 665 (SZCZUPAK DAVID T) 10 December 1985 (1985-12-10)  
D6: WO 02/06637 A (ALLIEDSIGNAL TURBO SA ;DECHANET ERIC (FR);  
FIGURA GIORGIO (FR); JE) 24 January 2002 (2002-01-24)

2. Claim 1 is not supported by the description as required by Article 6 PCT, as its scope is broader than justified by the description and drawings. The reasons therefor are the following:

- 2.1 according to claim 1, a turbocharger comprising a variable nozzle device and an exhaust housing being mechanically and/or thermally decoupled therefrom is sought;

nevertheless a definition of thermally and mechanically decoupled, pertaining to the preferred embodiment, is not given in the claim, thus allowing different interpretations of the technical features (i.e. one could think of mechanically decoupled as allowing all the possible degree of freedom of one entity in respect to the other, which is not the case of the variable nozzle device and the exhaust housing).

- 2.2 Referring to the shown embodiment:

the exhaust housing is clamped to the centre housing (rendering it mechanically coupled with the centre housing);

"the ring shaped insert, together with the unison ring fitted therein and carrying all the movable elements of the vane actuating mechanism form the variable nozzle device which thus represent a kind of a cartridge attached to the centre housing

by means bolts" (application description, page 4, lines 21-24); the bolts render the variable nozzle device mechanically coupled with the center housing;

thus, being both the exhaust housing and the variable nozzle device mechanically coupled to the same part, they are also mechanically coupled between themselves.

Claim 1 is therefore not supported by the description as required by Article 6 PCT.

3. The present application does not meet the criteria of Article 33(1) PCT, because the subject-matter of claims 1-10, as disclosed by the description and by the shown embodiments, appears not new in the sense of Article 33(2) PCT.

- 3.1 The document D1 discloses (the references in parentheses applying to this document; see figures 2 and 8-10):

a turbocharger wherein the exhaust housing (12) is mounted directly to a center housing (13) carrying a shaft (20) with a turbine wheel (41), so that both housings (12,13) define an inner space in which the variable nozzle device (45) and said turbine wheel are located;

the subject matter of claim 2 appears not new in the sense of Article 33(2) PCT.

- 3.2 Dependent claims 2-10 do not contain any features which, in combination with the features of any claim to which they refer, meet the requirements of the PCT in respect of novelty and/or inventive step, see documents D1-D6 and the corresponding passages cited in the search report.